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USCG-2004-17524

PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the Supporting Statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW Washington, DC 20503.

1. Agency/Subagency originating request <u>Dept. of Homeland Security/Coast Guard</u>		2. OMB control number a. <u>1 6 2 5 - N E W -</u> b. <input type="checkbox"/> None	
3. Type of information collection (check one) a. <input type="checkbox"/> New collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input checked="" type="checkbox"/> Existing collection in use without an OMB control number <i>For b-f, note item A2 of Supporting Statement instructions</i>		4. Type of review requested (check one) a. <input type="checkbox"/> Regular submission b. <input checked="" type="checkbox"/> Emergency - Approval requested by: <u>04 / 30 / 04</u> c. <input type="checkbox"/> Delegated 5. Small entities. Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
		6. Requested expiration date a. <input type="checkbox"/> Three years from approval date b. <input checked="" type="checkbox"/> Other Specify: <u>10 / 04</u>	
7. Title <u>Standard Numbering System for Undocumented Vessels.</u>			
8. Agency form number(s) (if applicable) <u>NONE</u>			
9. Keywords <u>Water transportation, vessels, standard numbering system</u>			
10. Abstract <u>Federal statute requires undocumented vessels propelled by machinery to be numbered in their State of principal operation, and authorizes a Standard Numbering System administered by the States to perform this function on behalf of the Federal Government. Implementing regulations are contained in 33 CFR 173 and 174.</u>			
11. Affected public (Mark primary with "P" and all others that apply with "X") a. <u>P</u> Individuals or households d. <input type="checkbox"/> Farms b. <u>X</u> Business or other for-profit e. <input type="checkbox"/> Federal Government c. <input type="checkbox"/> Not-for-profit institutions f. <u>X</u> State, Local or Tribal Gov't		12. Obligation to respond (Mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input checked="" type="checkbox"/> Mandatory	
13. Annual reporting and recordkeeping hour burden a. Number of respondents <u>744,344</u> b. Total annual responses <u>248,114</u> 1. Percentage of these responses collected electronically <u>30</u> % c. Total annual hours requested <u>15,507</u> d. Current OMB inventory <u>0</u> e. Difference <u>15,507</u> f. Explanation of difference <u>Collection Expired</u> 1. Program change _____ 2. Adjustment _____		14. Annual reporting and recordkeeping cost burden (in thousands of dollars) a. Total annualized capital/startup costs _____ b. Total annual costs (O&M) _____ c. Total annualized cost requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____	
15. Purpose of information collection (Mark primary with "P" and all others that apply with "X") a. <input type="checkbox"/> Application for benefits e. <u>X</u> Program planning or management b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research c. <input type="checkbox"/> General purpose statistics d. <input type="checkbox"/> Audit g. <u>P</u> Regulatory or compliance		16. Frequency of recordkeeping or reporting (check all that apply) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input checked="" type="checkbox"/> Reporting 1. <input checked="" type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____	
17. Statistical methods Does this information collection employ statistical methods? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		18. Agency contact (person who can best answer questions regarding the content of this submission) Name: <u>Jeanne Timmons</u> Phone: <u>(202) 267-0857</u>	

SUPPORTING STATEMENT
Standard Numbering System
1625-NEW
(formerly 2115-0009)

A. JUSTIFICATION:

- 1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and of each regulation mandating or authorizing the collection of information.**

Subsection 12301(a) of Title 46, United States Code, requires undocumented vessels equipped with propulsion machinery of any kind to be numbered in the State where the vessel is principally operated. In 46 U.S.C. 12302(a), the statute authorizes the Secretary to prescribe, by regulation, a Standard Numbering System (SNS) that may be implemented by the States to perform this function on behalf of the Federal Government with systems approved by the Secretary. This authority has been delegated to the U.S. Coast Guard. The regulations requiring the numbering of undocumented vessels are in 33 CFR Part 173; regulations establishing the SNS for States to carry out this function are contained in Part 174.

In States that do not have an approved system, the Federal Government (U.S. Coast Guard) must administer the vessel numbering system. Currently, all 56 States and Territories have approved numbering systems. The approximate number of undocumented vessels registered by the States in 2002 was nearly 13 million.

- 2. Indicate how, by whom, how frequently, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.**

The SNS collects information on undocumented vessels and vessel owners. States submit reports annually to the Coast Guard on the number, size, construction, etc., of vessels they have numbered. That information is used by the Coast Guard in 1) publication of an annual "Boating Statistics" report required by 46 U.S.C. 6102(b), and 2) for allocation of Federal funds to assist States in carrying out the Recreational Boating Safety (RBS) Program established by 46 U.S.C. Chapter 131.

On a daily basis or as warranted, Federal, State, and local law enforcement personnel use SNS information from the States' numbering systems for enforcement of boating laws or theft and fraud investigations. In addition, when encountering a vessel suspected of illegal activity, information from the SNS increases officer safety by assisting boarding officers in determining how best to approach a vessel. Since the September 11, 2001 terrorist attacks on the United States, the need has increased for identification of undocumented vessels and their owners for port security and other

missions to safeguard the homeland, although the statutory requirement for numbering of vessels dates back to 1918.

3. Describe whether, and to what extent the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g. permitting electronic submissions of response, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.

Although the Coast Guard created the SNS, and published regulatory requirements for information collected in State systems, implementation of the program in a State is not mandatory and the regulations do not prescribe how the States are to maintain the system. Each State creates and maintains its own system for numbering of undocumented vessels. Currently, there is no way to determine the percentage of registration documents submitted electronically or how much of the system in its entirety is electronic, although we are aware of an increasing number of States moving toward an electronic function for renewals.

4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.

The information required by the SNS is not available from any other source. The information collection meets the statutory requirement of 46 U.S.C. 12301 and 12302, as well as requirements for performing the homeland security mission, by providing identifying information on undocumented vessels.

5. If the collection of information impacts small business or other small entities, describe any methods used to minimize burden.

The information required by the SNS is the minimum necessary to properly implement the statutory requirement for numbering of undocumented vessels propelled by machinery, and is applied uniformly to all owners. Small business operating as liveries for rental of recreational vessels provide the same information on their vessels as any individual owner. There is no burden on other small businesses unless they have been authorized by the States to voluntarily act as agents of the State to collect the information, e.g., a boat dealer provides the application to a new boat buyer and sends the application to the State for processing.

6. Describe the consequences to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing the burden.

As required by statute and the SNS regulations (46 U.S.C. 12304(a); 33 CFR 173.79 and 174.27), a vessel registration must be renewed at least once every three years.

Each State has the option under the program to do so more frequently and some States require annual or biannual renewal. From a law enforcement/homeland security perspective, annual renewals would be preferable but cannot be required under current law.

7. Explain any special circumstances that would cause an information collection to be conducted in a manner:

a. Requiring respondents to report information more often than quarterly. It is anticipated the respondents will provide the information generally only once.

Updated information (e.g., change of address, sale or loss of vessel, etc.) is provided as the occasion warrants.

b. Requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt.

(1) An undocumented vessel that is required to be numbered may not be operated on waters subject to the jurisdiction of the United States until the number has been issued and is displayed on the vessel. It is to the owner's advantage to apply for the number as quickly as possible in order to enjoy use of the vessel. Many States have adopted the Federal provision to permit a vessel to operate with a temporary certificate of number until the application can be processed.

(2) If a vessel is moved to a new State of principal operation, the new State must recognize a valid certificate of number from the previous State for 60 days.

(3) The regulations (33 CFR 173.29 and 174.13) further require vessel owners to notify the issuing authority (USCG or State), within 15 days, of a change of address, loss or destruction of the certificate of number, or change in status of the vessel such as being sold, stolen, destroyed or abandoned.

c. Requiring respondents to submit more than an original and two copies of any document.

There are no requirements for respondents to submit more than an original and two copies of any document.

d. Requiring respondents to retain records for more than three years.

The respondent is not required to retain records in connection with this information collection request.

e. In connection with a statistical survey.

There are no statistical survey aspects of this information collection request.

- f. Requiring the use of a statistical data classification that has not been approved by OMB.**

There are no statistical aspects of this information collection request.

- g. Including a pledge of confidentiality not supported by statute or regulation.**

Not applicable.

- h. Requiring respondents to submit proprietary information.**

Not applicable.

8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.

The Coast Guard published a 60-day notice in the Federal Register on April 19, 2004. A copy of the published notice is attached.

Two organizations responded with comments to the Federal Register notice. One comment, from a non-profit organization that operates a sailing program for children, objected to the provision in the Standard Numbering System (SNS) regulations that allows States, at their discretion, to require non-motorized vessels to be numbered. This is not a new provision in the law; it has been in place for many years. The State in which the commenter resides does not require non-motorized vessels to be numbered, and is not likely to change its laws to do so based simply on publication of the information collection notice. A copy of the comment is included to facilitate the approval process.

The second comment, from a national organization representing the State boating programs that are responsible for implementing the SNS regulations in their States, supported the notice.

Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

The Coast Guard works closely with the National Association of State Boating Law Administrators (NASBLA). With regard to the SNS, we particularly consult with NASBLA's Numbering and Titling Committee, which meets twice each year, to address issues affecting the system.

In addition, the Coast Guard conducts two meetings of the National Boating Safety Advisory Council (NBSAC) each year. The Council is made up of a total of 21 members appointed by the Secretary of the Department in which the Coast Guard operates; seven are representatives from the boating industry, seven are State boating authorities, and seven are representatives of the boating public. NBSAC routinely reviews all regulations, including the SNS regulations, affecting the boating community.

Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years – even if the collection of information activities is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.

Although it is not possible to consult with the 13 million vessel owners who submit the information for the SNS, seven representatives of the boating public serve on the National Boating Safety Advisory Council, which routinely reviews Coast Guard boating regulations; and, as noted above, we work closely with the Numbering and Titling Committee of NASBLA, which also meets twice each year.

9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contracts or grantees.

There are no payments or gifts to respondents.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation or agency policy.

The registration information on vessels and owners of vessels is protected by privacy laws of Federal and State governments.

11. Provide additional justification for any questions of sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary; the specific uses to be made of their information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.

No questions of a sensitive nature are involved.

12. Provide estimates of the hour burden of the collection of information. The statement should:

The paperwork burden from the SNS program is based on the approximately 744,344 new boats registered over the next three years. This figure is based on a simple

average in growth of numbered vessels over the past seven years at 1.45 percent. The true number of new registrations will vary according to actual growth in numbered vessels as reported by States. At .0625% of an hour (3.75 minutes) to fill out each application for a number, the total burden over the next three years is 46,521 hours. The annual burden will be approximately 15,507 hours each year.

13. Provide an estimate of the total annual cost burden to respondents or recordkeepers resulting from the collection of information.

Cost estimates are based on a GS-03 wage \$19 per hour and 3.75 minutes per numbering application. The total cost associated with 744,344 new registered boats over three years is about \$883,899 or \$294,633 in each year.

14. Provide estimates of annualized cost to the Federal Government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expenses that would not have been incurred without this collection of information. Agencies also may aggregate cost estimated from Items 12 and 14 in a single table.

There are no collection costs to the Federal Government for the SNS, because States implement the program. Each State's system is unique, so system costs vary from State to State. The cost to States is the cumulative cost associated with all State SNS systems and likely \$28,000,000 to \$56,000,000 for all 56 systems that cost in the range of \$500,000 to \$1,000,000 per system.

15. Explain the reasons for any program, changes or adjustments reported in Items 13 or 14 of the OMB Form 83-I.

Formerly OMB 2115-0009 was inadvertently allowed to expire. To ensure compliance with OMB requirements, the Paperwork Reduction Act, and established regulations, the Coast Guard is completing the necessary actions for compliance of this information collection request.

16. For collections of information whose results will be published, outline plans for tabulation, and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates and other actions.

States report the number of vessels to the Coast Guard each year. These reports are compiled in the annual "Boating Statistics" report, and are used in the annual allocation of Federal financial assistance available for State boating safety programs.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.

We are not seeking such approval. The OMB number will appear on appropriate PRA disclosure information.

**18. Explain each exception to the certification statement identified in Item 19
“Certification for paperwork reduction Act Submissions,” of OMB Form 83-I.**

There are no exceptions to the certification statement.

B. COLLECTION OF INFORMATION EMPLOYING STATISICAL METHODS

None.